

15866 U.S. PTO

Express Mail Label No. EF348851019US

Docket No.: LOT919990046US2

**NEW UTILITY PATENT APPLICATION TRANSMITTAL****(Large Entity)***(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Total Pages this Submission: 3

**TO THE DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Mail Stop Patent Application

P.O. Box 1450

Alexandria, VA 22313-1450

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:  
**SYSTEM AND METHOD FOR PRESENTATION OF ROOM NAVIGATION**

and invented by: Julio Estrada, Miguel A. Estrada, Maurice B. Shore

**ASSIGNEE NAME: International Business Machines Corporation****ASSIGNEE RESIDENCE: Armonk, New York****If a CONTINUATION APPLICATION, check the appropriate box and supply the requisite information:**

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No.:  
 09/473,640 filed 28 Dec 1999.

Enclosed are:

**Application Elements**01. ☒ Filing fee as calculated and transmitted as described below02. ☒ Specification having 103 pages and including the following:

- a. ☒ Descriptive Title of the Invention
- b. ☒ Cross References to Related Applications *(if applicable)*
- c. ☐ Statement Regarding Federally-sponsored Research/Development *(if applicable)*
- d. ☐ Reference to Microfiche Appendix *(if applicable)*
- e. ☒ Background of the Invention
- f. ☒ Brief Summary of the Invention
- g. ☒ Brief Description of the Drawings *(if drawings filed)*
- h. ☒ Detailed Description
- i. ☒ Claim(s) as Classified Below
- j. ☒ Abstract of the Disclosure

03. ☒ Drawing(s) when necessary as prescribed by 35 USC 113)

- a. ☒ Formal
- b. ☐ Informal

Number of sheets: 33

Page 1 of 3

The PTO did not receive the following  
 listed item(s) The Document

were not

22141 U.S. PTO  
10/825058

**NEW UTILITY PATENT APPLICATION TRANSMITTAL**

**(Large Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Total Pages this Submission:3

**Application Elements (Continued)**

04. ☒ Oath or Declaration
- a. ☐ Newly executed (original or copy) ☐ Not executed
- b. ☒ Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional application only)*
- c. ☒ With Power of Attorney ☐ Without Power of Attorney
05. ☒ Incorporation By Reference *(usable if Item 4b is checked)*
- The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Item 4b, is considered as being part of the disclosure of accompanying application and is hereby incorporated by reference therein.
06. ☐ Computer Program in Microfiche *(Appendix)*
07. ☐ Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all must be included)*
- a. ☐ Paper Copy
- b. ☐ Computer Readable Copy *(identical to computer copy)*
- c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

**Accompanying Application Parts**

08. ☐ Assignment Papers *(cover sheet & document(s))*
09. ☐ 37 CFR 3.73(B) Statement *(when there is an assignee)*
10. ☐ English Translation Document *(if applicable)*
11. ☐ Information Disclosure Statement/PTO-1449 ☐ Copies of IDS citation
12. ☒ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing
- ☐ First Class ☒ Express Mail (Label No: EF348851019US)
15. ☐ Certified Copy of Priority Document(s) *(if foreign priority is claimed)*

**NEW UTILITY PATENT APPLICATION TRANSMITTAL****(Large Entity)***(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Total Pages this Submission: 3

**Accompanying Application Parts (Continued)**16. ☒ Additional Enclosures (identify below)☒ Change of Correspondence Address**Fee Calculation and Transmittal****CLAIMS AS FILED**

For	# Filed	# Allowed	# Extra	Rate	Fee
Total Claims	4	20	0	x \$18.00	\$
Indep. Claims	4	3	1	x \$86.00	\$ 86.00
Multiple Dependent Claims _____					\$
				<b>BASIC FEE</b>	\$ 770.00
Other FEE (Specify purpose)					\$
				<b>TOTAL FILING FEE</b>	\$ 856.00

☐ A check in the amount of \$ \_\_\_\_\_ to cover the filing fee is enclosed.☒ The Commissioner is hereby authorized to charge and credit IBM Corporation Deposit Account No. 12-2158 as described below. A duplicate copy of this sheet is enclosed.

- ☒ Charge the amount of \$ 856.00 as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees as required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: 12 Apr 2004

  
 Signature
Shelley M Beckstrand, Attorney  
Reg. No. 24,886314 Main Street  
Owego, NY 13827-1616  
Phone: (607) 687-9913

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of

Applicant : Julio Estrada, et al.  
Serial No. : Not assigned  
Filed : Herewith  
Group : 2174  
Examiner : Mylinh T. Tran

Entitled : SYSTEM AND METHOD FOR PRESENTATION OF ROOM NAVIGATION  
Docket : LOT919990046US2

Director of the United States Patent and Trademark Office  
P.O. Box 1450  
Alexandria, VA 22313-1450

EXPRESS MAIL CERTIFICATE

"Express Mail" label number: EF348851019US

Date of Deposit: 12 Apr 2004

I hereby certify that the following attached paper or fee

Postcard  
Express Mail Certificate  
New Utility Patent Application Transmittal  
Change of Correspondence Address and Power of Attorney  
Preliminary Amendment  
Patent Application  
Declaration and Power of Attorney for Patent Application  
Drawings (33 sheets)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the

Mail Stop PATENT APPLICATION  
DIRECTOR OF THE UNITED STATES PATENT AND TRADEMARK OFFICE  
P.O. BOX 1450  
ALEXANDRIA, VA 22313-1450

JUDITH A. BECKSTRAND  
(Name of person mailing paper or fee)

  
(Signature of person mailing paper or fee)

Express Mail Cert. No. EF348851019US

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**In Re Application of**

Applicant : Julio Estrada, et al.  
Serial No. : Not assigned  
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Group : 2174  
Examiner : Mylinh T. Tran  
  
Entitled : SYSTEM AND METHOD FOR PRESENTATION OF ROOM NAVIGATION  
Docket : LOT919990046US2

**Change of Correspondence Address under 37 CFR 1.33(c)  
and Power of Attorney under 37 CFR 1.34(b)**

Commissioner For Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

I, Shelley M Beckstrand, Attorney of Record in the above-identified application, do hereby appoint attorneys/agents under customer # 27085 as Associate Attorneys/Agents, in addition to myself, for the purpose of prosecuting the above-identified application. Please also address future correspondence to customer # 27085, which is:

IBM Corporation  
Intellectual Property Law  
1 Rogers Street  
Cambridge, MA 02142

Please direct all telephone calls to:

Stephen T. Keohane, Esq.  
617-693-4152

Date: \_\_\_\_\_

Shelley M Beckstrand, Reg. No. 24,886  
Attorney of Record  
314 Main Street  
Owego, NY 13827-1616

Practitioner's Docket No. \_\_\_\_\_

**PATENT****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Estrada, et al

Application No.: 09 / 473,640 Group No.:

Filed: 12/28/99

Examiner:

For: SYSTEM AND METHOD FOR PRESENTATION OF ROOM NAVIGATION

**Box Missing Part****Assistant Commissioner for Patents  
Washington, D.C. 20231****COMPLETION OF FILING REQUIREMENTS  
— NONPROVISIONAL APPLICATION***(check and complete this item, if applicable)*

- I. ☒ This replies to the Notice to File Missing Parts of Application (PTO-1533)  
mailed February 9, 2000

NOTE: If these papers are filed before the office letter issues, adequate identification of the original papers should be made, e.g., in addition to the name of the inventor and title of invention, the filing date based on the "Express Mail" procedure, the serial number from the return post card or the attorney's docket number added.

- ☒ A copy of the Notice to File Missing Parts of Application—Filing Date  
Granted (Form PTO-1533) is enclosed.

NOTE: The PTO requires that a copy of Form PTO-1533 be returned with the response to the notice to file missing parts to the application.

**CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. § 1.8(a))**

I hereby certify that this correspondence is, on the date shown below, being:

**MAILING**

- ☒ deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

**FACSIMILE**

- ☐ transmitted by facsimile to the Patent and Trademark Office.

Date: 05/09/2000

Signature

Juliet Gresham-Moran*(type or print name of person certifying)*

## DECLARATION OR OATH

- II. ☒ No declaration or oath was filed. Enclosed is the original declaration or oath for this application.

NOTE: If the correct inventor or inventors are not named on filing a nonprovisional application under § 1.53(b) without an executed oath or declaration under § 1.63, the later submission of an executed oath or declaration under § 1.63 during the pendency of the application will act to correct the earlier identification of inventorship. 37 C.F.R. § 1.48(f)(1).

## OR

- ☐ The declaration or oath that was filed was determined to be defective. A new original oath or declaration is attached.

NOTE: For surcharge fee for filing declaration after filing date complete item VI(3) below.

NOTE: The following combinations of information supplied in an oath or declaration filed after the filing date are acceptable as minimums for identifying a specification and compliance with any one of the items below will be accepted as complying with the identification requirement of 37 C.F.R. § 1.63:

"(A) application number (consisting of the series code and the serial number, e.g., 08/123,456);

"(B) serial number and filing date;

"(C) attorney docket number which was on the specification as filed;

"(D) title which was on the specification as filed and reference to an attached specification which is both attached to the oath or declaration at the time of execution and submitted with the oath or declaration; or

"(E) title which was on the specification as filed and accompanied by a cover letter accurately identifying the application for which it was intended by either the application number (consisting of the series code and the serial number, e.g., 08/123,456), or serial number and filing date. Absent any statement(s) to the contrary, it will be presumed that the application filed in the PTO is the application which the inventor(s) executed by signing the oath or declaration."

M.P.E.P. § 601.01(a), 7th Ed.

NOTE: Another minimum found acceptable in the declaration is the filing date (i.e., date of express mail) and the express mail number, useful where the serial number is not yet known. But note the practice where the express mail deposit is a Saturday, Sunday or holiday within the District of Columbia. 37 C.F.R. § 1.10(c).

(complete (c) or (d), if applicable)

Attached is a

- (c) ☐ Statement by a registered attorney that the application filed in the PTO is the application that the inventor executed by signing the declaration.
- (d) ☐ Statement that the "attached" specification is a copy of the specification and any amendments thereto that were filed in the PTO to obtain the filing date.

## AMENDMENT CANCELLING CLAIMS

- III. ☐ Cancel claims \_\_\_\_\_ inclusive.

(Completion of Filing Requirements — Nonprovisional Application [5-1]—page 2 of 6)

**TRANSMITTAL OF ENGLISH TRANSLATION  
OF NON-ENGLISH LANGUAGE PAPERS**

- IV. ☐ Submitted herewith is an English translation of the non-English language application papers as originally filed. Also submitted herewith is a statement by the translator of the accuracy of the translation. It is requested that this translation be used as the copy for examination purposes in the PTO.

NOTE: For fee processing a non-English application, complete item VI(5) below.

NOTE: A non-English oath or declaration in the form provided by the PTO need not be translated. 37 C.F.R. § 1.69(b).

**SMALL ENTITY STATUS**

V.

- ☐ A statement that this filing is by a small entity  
(check and complete applicable items)
- ☐ is attached.
- ☐ A separate refund request accompanies this paper.
- ☐ was filed on \_\_\_\_\_ (original).

**COMPLETION FEES**

VI.

**WARNING:** Failure to submit the surcharge fees where required will cause the application to become abandoned. 37 C.F.R. § 1.53.

NOTE: For effect on fees of failure to establish status, or change status, as a small entity, see 37 C.F.R. § 1.28(a).

1. Filing fee

- ☐ original patent application  
(37 C.F.R. § 1.16(a)—\$690.00; Small entity—\$345.00) \$ \_\_\_\_\_
- ☐ design application  
(37 C.F.R. § 1.16(f)—\$310.00; small entity—\$155.00) \$ \_\_\_\_\_
- \$ \_\_\_\_\_

2. Fees for claims

- ☐ each independent claim in excess of 3  
(37 C.F.R. § 1.16(b)—\$78.00; small entity—\$39.00) \$ \_\_\_\_\_
- ☐ each claim in excess of 20  
(37 C.F.R. § 1.16(c)—\$18.00; small entity—\$9.00) \$ \_\_\_\_\_
- ☐ multiple dependent claim(s)  
(37 C.F.R. § 1.16(d)—\$260.00; small entity—\$130.00) \$ \_\_\_\_\_

(Completion of Filing Requirements — Nonprovisional Application [5-1]—page 3 of 6)



### 3. Surcharge fees

- ☒ late payment of filing fee and/or late filing of original declaration or oath  
(37 C.F.R. § 1.16(e))—\$130.00; small entity—\$65.00; \$ 130.00

NOTE: Even where a facsimile declaration or oath signed by the inventor(s) was part of the originally filed papers, the surcharge fee is required.

NOTE: If both the filing fee and declaration or oath were missing from the original papers, the Office practice under § 37 C.F.R. § 1.16(e) is that only one surcharge Fee need be paid whether the later filed oath or declaration and/or the filing fee are submitted afterwards at the same time or at different times.

4. ☐ Petition and fee for filing by other than all the inventors or a person not the inventor  
(37 C.F.R. §§ 1.17(i) and 1.47)—\$130.00 \$ \_\_\_\_\_
5. ☐ Fee for processing an application filed with a specification in a non-English language  
(37 C.F.R. §§ 1.17(k) and 1.52(d))—\$130.00 \$ \_\_\_\_\_
6. ☐ Fee for processing and retention of application  
(37 C.F.R. §§ 1.21(l) and 1.53(d))—\$130.00 \$ \_\_\_\_\_
7. ☒ Assignment (See "ASSIGNMENT COVER SHEET".)

NOTE: 37 C.F.R. § 1.21(f) establishes a fee for processing and retaining any application which is abandoned for failing to complete the application pursuant to 37 C.F.R. § 1.53(f) and this, as well as, the changes to 37 C.F.R. §§ 1.53 and 1.78 indicate that in order to obtain the benefit of a prior U.S. application, either the basic filing fee or the processing and retention fee of § 1.21(f) within 1 year of notification under § 1.53(f) must be paid.

Total completion fees \$ 130.00

### EXTENSION OF TIME

#### VII.

(complete (a) or (b), as applicable)

The proceedings herein are for a patent application, and the provisions of 37 C.F.R. § 1.136(a) apply.

- (a) ☒ Applicant petitions\ for an extension of time, the fees for which are set out in 37 C.F.R. § 1.17(a)(1)-(4), for the total number of months checked below:

Extension (months)	Fee for other than small entity	Fee for small entity
<input checked="" type="checkbox"/> one month	\$ 110.00	\$ 55.00
<input type="checkbox"/> two months	\$ 380.00	\$ 190.00
<input type="checkbox"/> three months	\$ 870.00	\$ 435.00
<input type="checkbox"/> four months	\$ 1,360.00	\$ 680.00

Fee: \$ 110.00

If an additional extension of time is required, please consider this a petition therefor.

(Completion of Filing Requirements — Nonprovisional Application [5-1]—page 4 of 6)

(check and complete the next item, if applicable)

- ☒ An extension for \_\_\_\_\_ months has already been secured, and the fee paid therefor of \$\_\_\_\_\_ is deducted from the total fee due for the total months of extension now requested.

Extension fee due with this request \$\_\_\_\_\_

or

- (b) ☐ Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.

### TOTAL FEE DUE

#### VIII.

The total fee due is

Completion fee(s) \$ 130.00

Extension fee (if any) \$ 110.00

Total Fee Due \$ 240.00

### PAYMENT OF FEES

#### IX.

- ☐ Enclosed is a check in the amount of \$\_\_\_\_\_ 240.00
- ☒ Charge Account No. DA12-2158 in the amount of \$\_\_\_\_\_
- A duplicate of this request is attached.

NOTE: Fees should be itemized in such a manner that it is clear for which purpose the fees are paid. 37 C.F.R. § 1.22(b).

Please charge Account No. \_\_\_\_\_ for any fees that may be due by this paper

### AUTHORIZATION TO CHARGE ADDITIONAL FEES

#### X.

**WARNING:** Accurately count claims, especially multiple dependant claims, to avoid unexpected high charges if extra claims are authorized.

NOTE: "Amounts of twenty-five dollars or less will not be returned unless specifically requested within a reasonable time, nor will the payer be notified of such amounts; amounts over twenty-five dollars may be returned by check or, if requested, by credit to a deposit account." 37 C.F.R. § 1.26(a).

- ☒ The Commissioner is hereby authorized to charge the following additional fees that may be required by this paper and during the pendency of this application to Account No. DA12-2158

☒ 37 C.F.R. § 1.16(a), (f) or (g) (filing fees)

☒ 37 C.F.R. § 1.16(b), (c) and (d) (presentation of extra claims)

NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 C.F.R. § 1.16(d)), it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

- ☒ 37 C.F.R. § 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later than the filing date of the application)
- ☒ 37 C.F.R. § 1.17(a)(1)-(5) (extension fees pursuant to § 1.136(a))
- ☒ 37 C.F.R. § 1.17 (application processing fees)

NOTE: "A written request may be submitted in an application that is an authorization to treat any concurrent or future reply, requiring a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fees, fees under § 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time under this paragraph for its timely submission. Submission of the fee set forth in § 1.17(a) will also be treated as a constructive petition for an extension of time in any concurrent reply requiring a petition for an extension of time under this paragraph for its timely submission." 37 C.F.R. § 1.136(a)(3).

- ☐ 37 C.F.R. § 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 C.F.R. § 1.311(b))

NOTE: Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the notice of allowance. 37 C.F.R. § 1.311(b).

NOTE: 37 C.F.R. § 1.28(b) requires "Notification of any change in loss of entitlement to small entity status must be filed in the application . . . prior to paying, or at the time of paying . . . issue fee . . ." From the wording of 37 C.F.R. § 1.28(b): (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity.



SIGNATURE OF PRACTITIONER

Reg. No. 34,360

Stephen T. Keohane

(type or print name of practitioner)

Tel. No.: (617) 693-4152

Lotus Development Corporation  
55 Cambridge Parkway

P.O. Address

Customer No.

Cambridge, MA 02142

(Completion of Filing Requirements — Nonprovisional Application [5-1]—page 6 of 6)